



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Kostas F. Dockus, *et al.*

Appl. No. 09/990,507

Filed: November 21, 2001

For: **METHODS FOR FLUXLESS  
BRAZING**

Art Unit: 1775

Examiner: Zimmerman

Atty. Docket: 02057.0167.NPUS00

**Information Disclosure Statement**

***Mail Stop RCE***

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

Sir:

Listed on accompanying Form PTO-1449 are documents that may be considered material to the examination of this application, in compliance with the duty of disclosure requirements of 37 C.F.R. §§ 1.56, 1.97 and 1.98.

Where the publication date of a listed document does not provide a month of publication, the year of publication of the listed document is sufficiently earlier than the effective U.S. filing date and any foreign priority date so that the month of publication is not in issue. Applicants have listed publication dates on the attached PTO-1449 based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the date indicated.

Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

This statement should not be construed as a representation that a search has been made, or that information more material to the examination of the present patent application does not exist. The Examiner is specifically requested not to rely solely on the material submitted

herewith. It is further understood that the Examiner will consider information that had been cited by or submitted to the U.S. Patent and Trademark Office in a prior application relied on under 35 U.S.C. § 120. 1138 OG 37, 38 (May 19, 1992).

Applicants have checked the appropriate boxes below.

- ☒ 1. This Information Disclosure Statement is being filed;
- ☐ a. Within three months of the U.S. filing date of a national application other than a continued prosecution application under §1.53(d);
  - ☐ b. Within three months of the date of entry of the national stage as set forth in §1.491 in an international application;
  - ☐ c. Before the mailing date of a first Office Action on the merits;
  - ☒ d. Before the mailing of a first Office Action after filing of a request for continued examination under § 1.115.

No statement under 37 C.F.R. § 1.97(e) or fee is required.

or;

- ☐ 2. This Information Disclosure Statement is being filed after the period specified in paragraph 1(a)-1(d) above, but before the mailing date of a Final Rejection or Notice of Allowance, or action that otherwise closes prosecution in the application, and
- ☐ a. I hereby state that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1), or
  - ☐ b. I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to my knowledge after making reasonable inquiry, no item of information contained in this Information Disclosure Statement was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2), or

- ☐ c. Attached is our Check No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ in payment of the fee under 37 C.F.R. § 1.17(p).
- ☐ 3. This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of a Final Rejection or Notice of Allowance, but on or before payment of the Issue Fee. Attached is our Check No. 408943 in the amount of \$ 180.00 in payment of the fee under 37 C.F.R. § 1.17(i), and
- ☐ a. I hereby state that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1), or
- ☐ b. I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to my knowledge after making reasonable inquiry, no item of information contained in this Information Disclosure Statement was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).
- ☐ 4. Relevance of the non-English language document(s) is discussed in the present specification.
- ☐ 5. The document(s) was/were cited in a corresponding foreign application. An English language version of the foreign search report is attached for the Examiner's information.
- ☐ 6. A concise explanation of the relevance of the non-English language document(s) appears below:
- ☐ 7. The Examiner's attention is directed to co-pending U.S. Patent Application Nos. \_\_\_\_\_, which are directed to related technical subject matter. The identification of this U.S. Patent Application is not to be construed as a waiver of secrecy as to that application now or upon issuance of the present application as a patent. The

of the present application as a patent. The Examiner is respectfully requested to consider the cited application and the art cited therein during examination.

- ☐ 8. Copies of the documents were cited by or submitted to the Office in Application No. \_\_\_\_\_, filed \_\_\_\_\_, which is relied upon for an earlier filing date under 35 U.S.C. § 120. Thus, copies of these documents are not attached. 37 C.F.R. § 1.98(d).

It is respectfully requested that the Examiner initial and return a copy of the enclosed PTO-1449, and to indicate in the official file wrapper of this patent application that the documents have been considered.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 08-3038 referencing docket number 02057.0167.NPUS00.

Respectfully submitted,



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Date: May 20, 2004

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## LIST OF REFERENCES CITED BY APPLICANT

(Use several sheets if necessary)

PTO FORM 1449

ATTY. DOCKET NO.

\*02057.0167.NPUS00

APPLICATION NO.

09/990,507

APPLICANT

DOCKUS *et al.*

FILING DATE

November 21, 2001

GROUP

1775

## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	1.	1627900	05/1927	Hewitson			
	2.	2142564	01/1939	Korpium			
	3.	2745799	05/1956	Patrie			
	4.	2821014	01/1958	Miller			
	5.	3338725	08/1967	Banks			
	6.	3417005	12/1968	Baig			
	7.	3843333	10/1974	Woods			
	8.	4164454	08/1979	Schober			
	9.	4489140	12/1984	Pulliam			
	10.	4826736	05/1989	Nakamura			
	11.	5316206	05/1994	Syslak			

## FOREIGN PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	12.	GB 2270086	03/1984	United Kingdom				
	13.	GB 1087054	09/1964	United Kingdom				
	14.	FR 2617868	1988	France				

## OTHER REFERENCES

(Including Author, Title, Date, Pertinent Pages, Etc.)

	15.	WERNICK <i>et al.</i> , The Surface Treatment and Finishing of Aluminium and its Alloys, Fifth Edition, Vol. 1, 1987, pps. iii-v; xxx-xxxi; 180-183; 190-203.
	16.	DURNEY, Electroplating Engineering Handbook, Fourth Edition, 1984, pps. 185-188; 245; 247-250
	17.	ENGSTRÖM <i>et al.</i> , A Multilayer Clad Aluminum Material with Improved Brazing Properties, 1988, pps. 222-226.
	18.	WERNICK <i>et al.</i> , The Surface Treatment and Finishing of Aluminum and its Alloys, Fifth Edition, Vol. 2, 1987, pps. 1023-1083.
	19.	Metal Progress, Mid-June DATABOOK 1980, Properties and Applications of Wrought Aluminum Alloys, pps. 56-57.
	20.	Designation: B 253-87 (Reapproved 1993), Standard Guide for Preparation of Aluminum Alloys for Electroplating, pps. 48-54.

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<b>LIST OF REFERENCES CITED BY APPLICANT</b> <i>(Use several sheets if necessary)</i>  <b>PTO FORM 1449</b>	ATTY. DOCKET NO. <b>*02057.0167.NPUS00</b>	APPLICATION NO. <b>09/990,507</b>
	APPLICANT <b>DOCKUS <i>et al.</i></b>	
	FILING DATE <b>November 21, 2001</b>	GROUP <b>1775</b>

21.	VAN HORN, Aluminum, Vol. I. Properties, Physical Metallurgy and Phase Diagrams, 1987, pps. v; 48-55; 162-165; 178-179; 192-209; 300-303.
22.	Aluminum Standards and Data 1997, The Aluminum Association, 1996, pps. 6-1 – 6-6.
23.	Designation: B 253 – 73, Standard Recommended Practice for Preparation of and Electroplating on Aluminum Alloys by the Zincate Process, 1974, pps. 72-81.
24.	LENTZ <i>et al.</i> , Aluminum Brazing Handbook, Third Edition, 1979, pps. 5-6; 8; 24-33; 36; 58-61; 65-66.
25.	Aluminum Standards and Data 1984, pps. 1-2; 7; 15-21; 29-30.
26.	WYSZYNSKI, An Immersion Alloy Pretreatment for Electroplating on Aluminium, Transactions of the Institute of Metal Finishing, 1967, Vol. 45, pps. 147-154.
27.	The Coil which Goes Around the World Technical Data.
28.	GOLBY <i>et al.</i> , Factors Influencing the Growth of Zinc Immersion Deposits on Aluminum Alloys, Transactions of the Institute of Metal Finishing, 1981, Vol. 59, pps. 17-24.
29.	PEARSON <i>et al.</i> , Improvements in the Pretreatment of Aluminum as a Substrate for Electrodeposition, Trans IMF, 1997, 75(3), pps. 93-97.
30.	SUCH <i>et al.</i> , An Improvement in Zincate Method for Plating on Aluminum, 1965, pps. 1027-1034.
31.	Metals & Alloys in the Unified Numbering System, Seventh Edition, 1996, pps. 31-35; 42; 44.
32.	Finstock and Brazing Products for Heat Exchanger Applications, Alcan
33.	WYSZYNSKI, Electrodeposition on Aluminium Alloys, Transactions of the Institute of Metal Finishing, 1980, Vol. 58, pps. 34-40.
34.	GOLBY <i>et al.</i> , A Study of the Effect of Pretreatment Procedures on the Plating of Aluminium Alloys, Surface Technology, 12, (1981) 141-155.

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with **MPEP 609**; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.